

**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**

Docket No.  
7351/92560

In Re Application Of: **Brian C. Tarbox et al.**

Application No. <b>10/073,632</b>	Filing Date <b>February 11, 2002</b>	Examiner <b>E. Colbert</b>	Customer No. <b>24628</b>	Group Art Unit <b>3624</b>	Confirmation No. <b>6664</b>
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Invention:

**SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE**

COMMISSIONER FOR PATENTS:

This is a combined amendment and petition under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the Office Action of February 13, 2004 in the above-identified application.  
*Date*

The requested extension is as follows (check time period desired):

☒ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: June 13, 2004    until: July 13, 2004  
*Date*    *Date*

A verified statement of small entity status as a small entity under 37 CFR 1.27:

- ☐ is enclosed.  
☒ has already been filed in this application.

The fee for the amendment and extension of time has been calculated as shown below:

CLAIMS AS AMENDED						
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE	
TOTAL CLAIMS	22 -	62 =	0	x \$9.00	\$0.00	
INDEP. CLAIMS	2 -	8 =	0	x \$43.00	\$0.00	
FEE FOR AMENDMENT						\$0.00
FEE FOR EXTENSION OF TIME						\$55.00
TOTAL FEE FOR AMENDMENT AND EXTENSION OF TIME						\$55.00

07/19/2004 KBETEM1 00000065 230920 10073632

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**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**

Docket No.  
**7351/92560**

The fee for the amendment and extension of time is to be paid as follows:

- ☐ A check in the amount of \_\_\_\_\_ for the amendment and extension of time is enclosed.
- ☒ Please charge Deposit Account No. **23-0920** in the amount of **\$55.00**
- ☒ The Director is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. **23-0920**
- ☐ Any additional filing fees required under 37 C.F.R. 1.16.
- ☐ Any patent application processing fees under 37 CFR 1.17.
- ☐ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **23-0920**

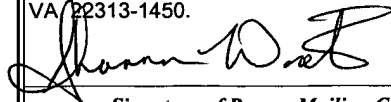
  
Signature

Dated: 7/13/04

Thomas W. Tolpin, Esq. - Reg. No. 27,600  
WELSH & KATZ, LTD.  
120 South Riverside Plaza - 22nd FL.  
Chicago, Illinois 60606

Phone: (312) 655-1500  
Fax: (312) 655-1501

I certify that this document and fee is being deposited  
on 07/13/04 with the U.S. Postal Service  
as first class mail under 37 C.F.R. 1.8 and is addressed to  
the Commissioner for Patents, P.O. Box 1450, Alexandria,  
VA 22313-1450.

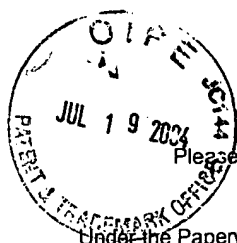


Signature of Person Mailing Correspondence

**Shannon Wooten**

Typed or Printed Name of Person Mailing Correspondence

CC:



RECEIVED  
JUL 22 2004  
GROUP 3600

3624  
41  
+

Please type a plus sign (+) inside this box

PTO/SB/21 (6-98)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/073,632	
	Filing Date	February 11, 2002	
	First Named Inventor	Brian C. Tarbox et al.	
	Group Art Unit	3624	
	Examiner Name	E. Colbert	
Total Number of Pages in This Submission	18	Attorney Docket Number	7351/92560

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input checked="" type="checkbox"/> Amendment/Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input checked="" type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notices, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Return Receipt Postcard  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): 1. Certificate of Mailing by First Class Mail; and 2. Combined Amendment & Petition For Extension of Time Under 37 CFR 1.136(a) (Small Entity).
Remarks		Confirmation No. 6664
TITLE OF INVENTION: Systems And Methods For Improving Investment Performance		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual Name	Thomas W. Tolpin, Esq. WELSH & KATZ, LTD.		
Signature			
Date			

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope Addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA., 22313-1450 on this date:			
		July 13, 2004	
Typed or Printed Name	Thomas W. Tolpin, Esq.		
Signature	Thomas W Tolpin	Date	July 13, 2004

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**Applicant(s): **Brian C. Tarbox et al.**

Docket No.

**7351/92560**

Application No.

**10/073,632**

Filing Date

**February 11, 2002**

Examiner

**E. Colbert**

Customer No.

**24628**

Group Art Unit

**3624**

Invention:

**SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE****RECEIVED****JUL 22 2004****GROUP 3600**I hereby certify that this Combined Amd & Pet. For Ext. of Time; Amendment B; Change of Atty/Agents Address  
(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

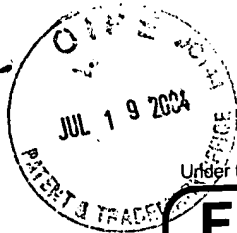
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 13, 2004  
(Date)**Shannon Wooten**

(Typed or Printed Name of Person Mailing Correspondence)

A handwritten signature in dark ink, appearing to read "Shannon Wooten".

(Signature of Person Mailing Correspondence)

**Note: Each paper must have its own certificate of mailing.**Thomas W. Tolpin, Esq. Reg. No. 27,600  
WELSH & KATZ, LTD.  
120 South Riverside Plaza - 22nd Floor  
Chicago, Illinois 60606Phone: (312) 655-1500  
Fax: (312) 655-1501



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JUL 22 2004

GROUP 999

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PTO/SB/17 (10-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$55.00

## Complete if Known

Application Number	10/073,632
Filing Date	February 11, 2002
First Named Inventor	Brian C. Tarbox et al.
Examiner Name	E. Colbert
Art Unit	3624
Attorney Docket No.	7351/92560

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number

23-0920

Deposit  
Account  
Name

WELSH & KATZ, LTD.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	

### 2. EXTRA CLAIM FEES FOR UTILITY AND

Total Claims		Extra Claims		Fee from below		Fee Paid
Total Claims		20** =	0	X		0.00
Independent Claims		3** =	0	X		0.00
Multiple Dependent						

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) \$0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non - English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	55.00
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Statement	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \$55.00

## SUBMITTED BY

Name (Print/Type)	Thomas W. Tolpin, Esq.	Registration No. (Attorney/Agent)	27,600	Telephone	(312) 655-1500
Signature	Thomas W. Tolpin	Date	7/13/04		

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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